SECURE PAYMENT SYSTEM (SPS)

Overview

Secure Payment System
Objectives

SPS vs. ECS
Thin vs. Fat
Benefits
Methods of Access
User Requirements
Public Key Infrastructure
Smart Card and Reader
Enrollment Process
Minimum Client Hardware/Software Configuration
Basic functionality and Process Flow
Sample Screens
Help Desk
Implementation and Rollout
Conclusion

ECS vs. SPS

SPS, just like ECS, provides a mechanism by which government agencies can create payment schedules in a secure fashion.

It also allows RFC's a means to extract approved payment schedules for executing payment (e.g. check printing, electronic funds transfer).

ECS vs. SPS

- ECS is an automated DOS-based application that enables users to prepare and submit payment schedules to FMS via dial-up modem.

- SPS is a Windows-based Browser application that enables users to prepare and submit payment schedules to FMS using the internet.

- SPS retains the same functionality of creating and certifying schedules, but will provide some additional features and be more user-friendly.

ECS vs. SPS
Benefits

- Eliminates Security Administrator (SA) Role

- Eliminates need to retain antiquated PC's

- Eliminates use of SecurID cards

- No PCEM security board required

- No SPS software to install on client PC other than PKI linkage

- No system startup or shutdown required

- No archive disks to maintain

- No dedicated PC required

- Easy to use point and click Windows Graphical User Interface

- ACH and Same Day Pay RTN's on SPS Server

- Less need to cross-service with another FPA for Backup

SPS
Methods of Access

Internet

- SPS will be launched from the FMS website:
      https://sps.fms.treas.gov

Dial-Up

- Dial-up access for contingency or for agencies that have policies that prohibit conducting official business over the Internet, or other concerns.

SPS
User Requirements

- Security Administrator (SA) role is eliminated.

- Minimum of one Data Entry Operator (DEO) and one Certifying Officer (CO).

- Master CO (MCO) and Transmission CO (TCO) levels are no longer applicable. All CO's have the same capabilities under SPS.

- Fiscal Service Trusted Registration Agent (TRA) - Optional

SPS Security
Public Key Infrastructure (PKI)

- PKI technology replaces the existing Centralized Key Management System.

- PKI eliminates the need for SecurID card currently used for remote dialing into the FMS host.

- PKI eliminates the need for ECS PCEM board.

- PKI technology authenticates users and digitally signs (certifies) schedules.

- Each DEO and CO must have a PKI certificate and smartcard to access the system.

SPS Security
SmartCard

- Each SPS user must have a PKI certificate and smartcard, which will be used for user authentication and schedule certification.

  DataKey CIP 330g1 SmartCard

- FMS will provide two smartcards (one DEO and one CO) per agency site.

- Agencies are responsible for purchasing smartcards for each additional user.

SPS Security
SmartCard Reader

- Every PC used to access SPS will require a PKI smartcard reader. FMS will provide one card reader per agency site:

  DKR610 Serial Port or DKR630 USB Port

- Agencies will be responsible for purchasing additional PKI card readers, as needed.

SPS
PKI Enrollment Process

- **Head of Agency (HOA)**
  - Self Designates via Agency Letterhead Memo
  - Nominates and delegates authority to FSA (PKI-2)

- **Fiscal Sponsoring Authority (FSA)**
  - Located within the Agencies
  - Nominates additional FSAs and TRAs (PKI-2)
  - Nominates SPS Users (PKI-6)
  - May not be TRA, DEO, or CO

- **Fiscal Trusted Registration Agent (TRA)**
  - Located within the Agencies
  - In-person proofing of other TRAs
  - In-person proofing of SPS users
  - Create certificate for Smartcard holders
  - PKI user problem resolution
  - May Not Be a DEO or CO for SPS

- **SPS Users**
  - SPS Administrator (FMS)
  - RFC Administrator (FMS)
  - Operator (FMS)
  - Data Entry Operator (FPA)
  - Certifying Officer (FPA)

Minimum Client Hardware Software Configuration

- Pentium III, 500 Mhz

- 128 MB RAM

- 2x CD-ROM drive

- 500 MB free hard disk space

- One free serial or USB port for PKI reader

- 56K external or internal modem (dial-up)

- Network Interface Card
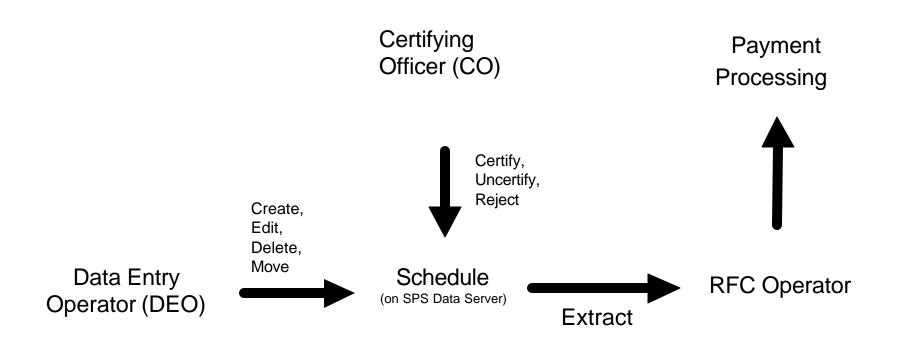
Minimum Client Hardware Software Configuration, con't

- DataKey CIP 330g1 SmartCard

- DataKey Card Reader, Serial or USB

- Windows NT4.0 SP6 / 2000 SP2/ XP

- Internet Explorer 5.5 or higher (6.0 or higher recommended)

- Netscape 4.79 or higher (7.1 or higher recommended)

- Java Plug-in 1.3.1_08

- Adobe Acrobat Reader 4.0 or higher

- Analog telephone line for dial up access

- Internet connectivity via user agency's connection

Connectivity Requirements

- Firewall port TCP 389

  dsa.publicdebt.treas.gov

- Firewall port TCP 443

  https://sps.fms.treas.gov

SPS
Basic Functionality and Process Flow

Certifying
Officer (CO)

Payment
Processing

Certify,
Uncertify,
Reject

Create,
Edit,
Delete,
Move

Data Entry
Operator (DEO)

Schedule
(on SPS Data Server)

RFC Operator

Extract

SPS
Sample Screens

- **DEO Main Screen**

- **DEO Create Schedules**
  - Vendor Check
  - Vendor ACH
  - Summary (Checks)
  - Summary (Mixed)
  - Same Day Pay Request

- **CO Main Screen**

- **CO Certify Schedule**
  - Vendor Check with Viewing
  - Vendor Check without Viewing
  - View Prior Extracts

SPS
DEO Toolbar Buttons

Hide/View : Hides or displays the toolbar buttons.

Create: Access the screens used in creating schedules.

Upload: Upload schedules created external to the SPS application
(3rd party or Off-line).

Edit: Access the edit screen for a selected schedule.

Delete: Delete selected schedule(s).

Move to Edit: Move schedules from the "Submitted to CO"
state back to the "Editable" state.

Submit to CO: Submit one or more schedules in the "Editable" state to
the "Submitted to CO" state for
CO certification.

SPS
DEO Toolbar Buttons

View Details: View the details of a selected schedule.

Refresh: Refresh the schedule summary information on the
              "DEO Main" screen.

Print Details: Print the details of a selected schedule.

Print Summary: Print the FPA Schedule Summary list.

Manage ALC Billing Addresses: Create, update or delete
                                ALC billing addresses.

Help: Provides access to the DEO User Manual User Manual.

Main Menu: Returns the DEO to the "DEO Main" Screen.

Logout: Logs a user out of the SPS and returns the user
            to the client workstation desktop.

SPS Sample Screens
DEO Main Screen

SPS Sample Screens
DEO Main Screen – Schedule Type

SPS Sample Screens
DEO Main Screen – Schedule Sub_Type

SPS Sample Screens
Create Vendor Check Schedule

SPS Sample Screens

Create Vendor Check Schedule – Create 3rd payment

SPS Sample Screens

Create Vendor Check Schedule – 3nd Payment Added

SPS Sample Screens
Create Vendor Check Schedule – Save Schedule

SPS Sample Screens

Create Vendor Check Schedule – Schedule Saved Confirmation

SPS Sample Screens
DEO Main Screen – Schedule Saved

Schedules Status Change View Print Configure SPS

User: JOHN1 DEO1 (DEO)***LIVE***   Screen: Deo Main   05/12/2004 15:39 EDT
FPA: FPA1
Filter: Editable, DEO Locked, Submitted to CO, CO Locked, Reject   Sort: Schedule State, Schedule Number

Schedule Number	Type/Sub-type	Office Number (ALC)	State	State Date	Date Created Last Edited	Number of Payments	Total Amount
0000C00AS-LS01	ACH Salary	20180001	Editable	05/12/2004	05/12/2004	2	$4.98
0000C00SS-LS01	Summary	20180001	Editable	05/12/2004	05/12/2004	1,000	$1,000.00
0000C00VC-LS01	Check Vendor	00008280	Editable	05/12/2004	05/12/2004	3	$899.97
0000C0CVR-0512	Check Vendor	20180012	Editable	05/12/2004	05/12/2004	3	$7,561.81
0000C0SDPR-LS01	SDPR	20180001	Editable	05/12/2004	05/12/2004	1	$1.99

5 schedules loaded.

SPS Sample Screens

DEO Main Screen – Edit Schedule

SPS Sample Screens
Create Vendor Check Schedule – Edit Schedule

SPS Sample Screens

Create Vendor Check Schedule – Submit to CO – TAS Summary

SPS Sample Screens
Create Vendor Check Schedule – Submit to CO – TAS Details

SPS Sample Screens

Create Vendor Check Schedule – Continue Submit to CO

SPS Sample Screens

Create Vendor Check Schedule – Submit to CO – Confirmation

SPS Sample Screens
Create Vendor ACH Schedule

SPS Sample Screens
Create Summary Schedule (Checks)

SPS Sample Screens

Create Summary Schedule (Checks) – Submitted to CO

SPS Sample Screens
Create Summary Schedule (Mixed)

SPS Sample Screens
Create Same Day Pay Request (SDPR)

SPS Sample Screens

Create Same Day Pay Request (SDPR) – Back and Save

SPS
CO Toolbar Buttons

Hide/View : Hides or displays the toolbar buttons.

Print Summary List: Print the FPA Schedule Summary list.

Print Schedule Details: Prints the schedule details for
the selected schedule.

Certify With Viewing Details: Allows the CO to certify the selected
schedule(s) after viewing
the details.

Certify Without Viewing Details: Allows the CO to certify the
selected schedule(s) without
viewing the details.

Reject: Allows the CO to reject the selected schedule(s).

Uncertify: Allows   the   CO   to   uncertify   previously   certified
schedules.

SPS
CO Toolbar Buttons

Refresh: Refreshes the FPA Schedule Summary list.

View Extracted Schedule: Displays a summary list of extracted schedules.

View Schedule Details: This button displays the details of the selected schedule.

View Next Schedule: Displays the next schedule if a group of schedules are selected for certification.

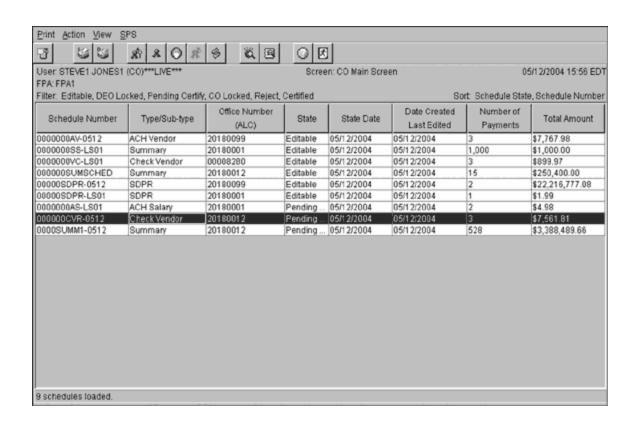View Previous Schedule: Displays the previous schedule if a group of schedules are selected for certification.

Help: Allows the CO to access the Certifying Officer User Manual.
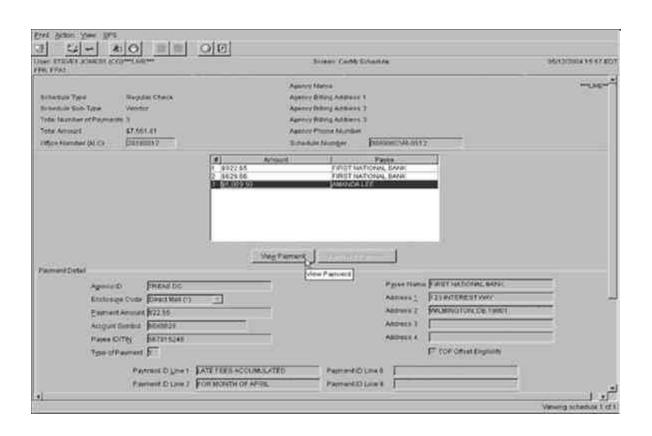
Main Menu: Allows the CO to return to the "CO Main Screen".

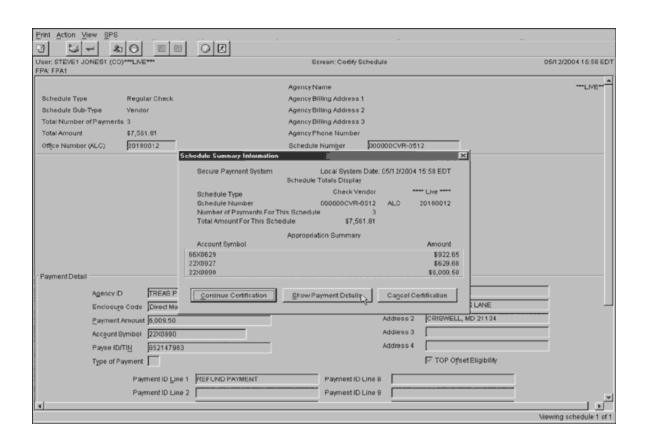Logout: Logs a user out of the SPS and returns the user to the client workstation desktop.

SPS Sample Screens
CO Main Screen

Print Action View SPS

User: STEVE1 JONES1 (CO)***LIVE***   Screen: CO Main Screen   05/12/2004 15:56 EDT
FPA: FPA1
Filter: Editable, DEO Locked, Pending Certify, CO Locked, Reject, Certified   Sort: Schedule State, Schedule Number

Schedule Number	Type/Sub-type	Office Number (ALC)	State	State Date	Date Created Last Edited	Number of Payments	Total Amount
0000000AV-0512	ACH Vendor	20180099	Editable	05/12/2004	05/12/2004	3	$7,767.98
0000000SS-LS01	Summary	20180001	Editable	05/12/2004	05/12/2004	1,000	$1,000.00
0000000VC-LS01	Check Vendor	00008280	Editable	05/12/2004	05/12/2004	3	$899.97
000000SUMSCHED	Summary	20180012	Editable	05/12/2004	05/12/2004	15	$250,400.00
00000SDPR-0512	SDPR	20180099	Editable	05/12/2004	05/12/2004	2	$22,216,777.08
00000SDPR-LS01	SDPR	20180001	Editable	05/12/2004	05/12/2004	1	$1.99
0000000AS-LS01	ACH Salary	20180001	Pending ...	05/12/2004	05/12/2004	2	$4.98
000000CVR-0512	Check Vendor	20180012	Pending ...	05/12/2004	05/12/2004	3	$7,561.81
0000SUMM1-0512	Summary	20180012	Pending ...	05/12/2004	05/12/2004	528	$3,388,489.66

9 schedules loaded.

SPS Sample Screens
CO Certify Schedule – View Payments

SPS Sample Screens

CO Certify Schedule – With Viewing

SPS Sample Screens
CO Certify Schedule – TAS Summary

SPS Sample Screens
CO Certify Schedule – TAS Summary Details

SPS Sample Screens

CO Certify Schedule – Continue Certification

SPS Sample Screens

CO Certify Schedule – Confirmation

SPS Sample Screens

CO Certify Schedule – Certified Successful

SPS Sample Screens

CO Main Screen – Certified Schedule

SPS Sample Screens
CO Main Screen – Certify Without Viewing

Print Action View SPS

User: STEVE1 JONES1 (CO)***LIVE***   Screen: CO Main Screen   05/12/2004 16:00 EDT
FPA: FPA1
Filter: Editable, DEO Locked, Pending Certify, CO Locked, Reject, Certified   Sort: Schedule State, Schedule Number

Certify Without Viewing

Schedule Number	Type/Sub-type	Office Number (ALC)	State	State Date	Date Created Last Edited	Number of Payments	Total Amount
0000000AV-0512	ACH Vendor	20180099	Editable	05/12/2004	05/12/2004	3	$7,767.98
0000000SS-LS01	Summary	20180001	Editable	05/12/2004	05/12/2004	1,000	$1,000.00
0000000VC-LS01	Check Vendor	00008280	Editable	05/12/2004	05/12/2004	3	$899.97
000003SUMSCHED	Summary	20180012	Editable	05/12/2004	05/12/2004	15	$250,400.00
00000SDFR-0512	SDPR	20180099	Editable	05/12/2004	05/12/2004	2	$22,216,777.08
00000SDFR-LS01	SDPR	20180001	Editable	05/12/2004	05/12/2004	1	$1.99
0000000AS-LS01	ACH Salary	20180001	Pending	05/12/2004	05/12/2004	2	$4.98
0000SUMM1-0512	Summary	20180012	Pending	05/12/2004	05/12/2004	528	$7,088,499.68
000000CVR-0512	Check Vendor	20180012	Certified	05/12/2004	05/12/2004	3	$7,561.81

9 schedules loaded.

SPS Sample Screens
CO Main Screen – Certify Without Viewing

SPS Sample Screens

CO Main Screen – Certified Schedule Confirmation

SPS Sample Screens

CO Main Screen – Reject Schedule

SPS Sample Screens

CO Reject Schedule – Reject Schedule

SPS Sample Screens

CO Reject Schedule – Confirmation

SPS Sample Screens
CO Main Screen – Reject Schedule Successful

SPS Sample Screens

CO Main Screen – Rejected Schedule

SPS Sample Screens

CO Main Screen – View Extracted Schedules Button

SPS Sample Screens
CO Main Screen – View Extracted Schedules

SPS
Implementation

FMS anticipates
beginning full
implementation in the
Spring of 2005.

SPS
Conclusion

For additional information on SPS, please visit the following website:

www.fms.treas.gov/sps

Common Questions
Third Party 440 Specification
System Requirements

SPS
Contacts

For additional information on SPS, please contact your processing RFC:

Austin
(512) 342-7300

Kansas City
(816) 414-2340

Philadelphia
(215) 516-8034

San Francisco
(415) 817-7144